7145573347

oplication No.: 05/950/029 Find D	ete: 09/20/04	BSTZ Cocket	# 47233P1065	Ally Sec. RWEX	LiFrants
ate Melled: 127177001. · Cookei Die	a Dete(s) 12/20/2001	Chên	k Without Electron	* Committee	
Title ANALOG/DIGITAL E	RECORDING AND PLAY	BACK SYSTEM	AND RELATED M	ETHOD	
	Marie Caracia	- G-1275			
Invertion(s) Halzmann, Chiang					(4) (A) (A) (A) (A) (A) (A) (A) (A) (A) (A
The following ties been received in	Sharre Dalan & Trees		Tea (1997)		
Amendment (pgs)		AND THE RESERVE OF THE PARTY OF	A Second College Control of the College Colleg	reon. emem & PTO/SB/08 (*)	
Appeal Brief & two caples pgr	1		en Crascustas su Se Transmilla (one		_IPgs)
Application		4 6 7 6 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7	VALUE OF	lle a copy)	
		13 Petrion	Contract of the second		10 M
Certificate of Maling		可说論	for Communed Exe	minetion (RCE)	
Conditions Presentation Applicatio	ri (CPA)		ried (oce)		
Declaretion & POA'(_pgs)	410			inder 35 U.S.C. 122(b)(3	
JCrawings:sheets,itgures	/O17E			de Nonpublication Requ	
Express Mali No:	1		se to Notice of Mist il Discialmer	iog Parts & Formallies I	etter
Tate ision of Time	JAN 1 8 7007	TANK 4	Hard Forgal Draw		LY C
Fee Transmittal (original & oppy)	13		ital of Publication I		
Cines Copyrol cied references		a Trensm	TO THE PARTY OF THE REAL PROPERTY.		
and the state of t		77 Ti Charles	lo. in the Amount	ALC: THE STATE OF	1000

PTO/SB/21 (12/97)
Approved for use through 9/30/2000. OMB 0851-0031
Patent and Tradement Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a vaid OMB control number.

TRAN	SMITTAL F		Application No.	09/9	60,029
			Filing Date	Sept	ember 20, 2001
(to be used for a	ll correspondence afte	er initial filing)	First Named Inventor	Pete	r Holzmann
			Group Art Unit		
			Examiner Name		
Total Number of	Pages in This Submiss	ion 31	Attorney Docket Number	er 4223	36P068
	ENCLO	SURES (chec	k all that apply)		
Fee Transmitta	l Form	Assignmen	t Papers dication)		After Allowance Communication to Group
Fee Atta	ched	Drawing(s)			Appeal Communication to Board of Appeals and Interferences
Amendment / R	Response	Licensing-r	elated Papers		Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
After Fin	al s/declaration(s)	Petition Ro and Accom	uting Slip (PTO/SB/69) panying Petition		Proprietary Information
Extension of Ti	me Request	To Convert Provisional	a Application		Status Letter
Express Aband	onment Request	Power of A Change of	ttorney, Revocation Correspondence Addres		Additional Enclosure(s) (please identify below):
Information Dis	dosure Statement	Terminal Disclaimer			PTO/SB/08; copy of cited eferences
Certified Copy of Document(s)		Small Entity Statement			
Response to Mi incomplete App	ssing Parts/ lication	Request for Refund			
Respons Parts une 1.52 or 1	e to Missing der 37 CFR 53	Remarks	<u>.</u> .		
			T, ATTORNEY, OR A	GENT	
Firm or	George L. Foun	tain, Reg. No.	36,374		
Individual name	BLAKELY, SO	OKOLOFF, T	AYLOR & ZAFM	IAN L	LP
Signature	Sery L. 70	untain)			
Date	December 17,	2001			
	CERTIFIC	CATE OF MAILI	NG/TRANSMISSION		
I hereby certify that thi postage in an envelop	s correspondence is be e addressed to: Assista	ing deposited with nt Commissioner f	the United States Postal or Patents, Washington,	Service D.C. 202	as First Class mall with sufficient 31 on: December 17, 2001
Typed or printed na	me Eric Hoover	······································		······	71, 2001
Signature		211-		Date	December 17, 2001

Burdon Hour Statement: The form to estimated to take 0.2 hours to complete. Time Will-vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Potent and Tradement Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PTC/SB/17 (10-01)
Approved for use through 10/31/2002. CMB 0851-032
U.S. Patant and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

	Complete if Known							
FEE TRANSMITTAL	Applicat				60,029			
for FY 2000		Filing Da				tember 20,		
10111 2000		First Na			Pete	r Holzman	<u>n</u> .	
Patent fees are subject to annual revision.		Examine		3				
TOTAL AMOUNT OF PAYMENT (\$)		Group/A		4 \$1-		CD0.CC		
(4)		Attorney	nocke	i NO.	4223	36P068		
METHOD OF PAYMENT (check one)				FE	E CALCULAT	ION (continu	ed)	
The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:	3.		DITION					
Deposit Account Number		ge Entity e Fee			_	- D	•	F D-14
Rumber	Fe		Fee Code	Fee (\$)	re	e Description		Fee Pald
Account Blakely, Sokoloff, Taylor & Zafman LLP	10	1-7	205	1.7	Surcharge - late	e filing fee or c	oath	
Charge Any Additional Fee(s) Required	12	7 50	227		Surcharge - late cover sheet.			
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.	13		139		Non-English sp			
Applicant claims small entity status. See 37 CFR 1,27.		7 2,520			For filing a requ			L
	11	2 920*	112	920	*Requesting put Examiner action		₹ prior to	
2. Payment Enclosed:	11	3 1,840*	113	1,840	*Requesting put		Rafter	
Check Credit card Order Other	l				Examiner action			
FEE CALCULATION	11		215		Extension for re	. •		
	11		216		Extension for re			J
BASIC FILING FEE Large Entity Small Entity	11		217		Extension for re	• •		
Fee Fee Fee Fee Description Fee Paid		8 1,440	218		Extension for re	• •		
Code (\$) Code (\$)		8 1,960	228		Extension for re		monu	
101 740 201 370 Utility filing fee	11		219		Notice of Appea			
106 330 206 165 Design filing fee	12		220		Filing a brief in	• .	appeai	ļi
107 510 207 255 Ptant filing fee	12		221		Request for ora	_		
108 740 208 370 Reissue filing fee	14	8 1,510 0 110	240	-	Petition to instit	•		<u></u>
114 160 214 80 Provisional filing fee	ł	1 1,280	241		Petition to reviv	•		
SUBTOTAL (1) (\$)	ł	2 1.280	242		Utility issue fee		ıaı	
2. EXTRA CLAIM FEES Edra Feefrom	14	•	243		Design issue fe			
Claims below	14		244		Plant issue fee	•		\vdash
Total Claims 34 _ = X =	12:		122		Petitions to the	Commissione	r	1
Independent 8 - **= X =	12		123		Processing fee			
Multiple Dependent	120		126		Submission of I			
Large Entity Small Entity	58		581		Recording each	patent assigr	ment per	
Fee Fee Fee Fee Description					property (times	•	•	
Code (\$) Code (\$) 103 18 203 9 Claims in excess of 20	148	6 740	246		Filing a submiss (37 CFR § 1.129		Lelection	i
103 18 203 9 Claims in excess of 20 102 84 202 42 Independent claims in excess of 3	149	9 740	249	370	For each addition	nal invention		
104 280 204 140 Multiple Dependent claim, if not paid	f	_			examined (37 C			
109 84 209 42 **Relsaue Independent claims	179		279		Request for Cor		• •	
over original patent	169	9 900	169		Request for exp of a design appl		ation	
110 18 210 9 **Reissue daims in excess of 20 and over original patent	Othe	r fee (spa	ecify)		a. a acoldii abbi			
SUBTOTAL (2) (\$)		r fee (spe		_				
"or number previously peid, if greater, For Reissues, see below		uced by 8a		Fee Pai	d st	JBTOTAL (3)	(\$)	
								
SUBMITTED BY	1 /	Registrati	on No	T			ete (if applica	
Name (Рим/Туре) George L. Fountain		Attorney/Age		30	6,374	Telephone	(714) 557	-3800
Signature Many 7 7						Dete	12/17	/01

WARNING! Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.

Burden Hour Statement: This form is autimated to take 0.2 hours to complete. Time will vary depending upon the needs of the Individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Tradement Office, Washington, DC 20231, DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

RECEIVED CENTRAL FAX CENTER

PAGE 17/29

NOV 1 4 2005

PTC/S8/17 (10-01)
Approved for use through 10/31/2002, OMB 0851-0032
U.S. Patent and Tredemark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

			omplete if Known	$\overline{}$
FEE TRANSM	ΙΤΤΔΙ	Application No.	09/960,029	
for FY 2000		Filing Date	September 20, 2001	
		First Named Inventor	Peter Holzmann	
Patent fees are subject to annual	revision.	Examiner Name		
		Group/Art Unit		
TOTAL AMOUNT OF PAYMENT	(\$)	Attorney Docket No.	42236P068	

	Automey i	42230F008	
METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)	
The Commissioner is hereby authorized to charge	3. ADD	DITIONAL FEE	
indicated fees and credit any overpayments to:	Large Entity	Small Entity	
Account 02_2666	Fee Fee	•	Pald
NO DE 1	Code (\$)	Code (\$)	rau
Account Diskola Calculate Taylor & Zafman LLD	105 130	205 65 Surcharge - late filling fee or oath	
Account Blakely, Sokoloff, Taylor & Zafman LLP	127 50	227 25 Surcharge - late provisional filing fee or	
Charge Any Additional Feets) Required Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.	1	cover sheet.	
· ·	139 130	139 130 Non-English specification	
Applicant claims smell entity status. See 37 CFR 1.27.	147 2,520 112 920°	147 2,520 For filing a request for experie reexamination 112 920 Requesting publication of SIR prior to	
2. Payment Enclosed:	1	Examiner action	
Check Credit card Money Other	113 1,840*	113 1,840 Requesting publication of SIR after Examiner action	
— — — Order —	115 110	215 55 Extension for reply within first month	
FEE CALCULATION	116 400	216 200 Extension for reply within second month	
1. BASIC FILING FEE	117 920	217 460 Extension for reply within third month	
Large Entity Small Entity	118 1,440	218 720 Extension for reply within fourth month	·
Fee Fee Fee Fee Description Fee Paid	128 1,960	228 980 Extension for reply within fifth month	
Code (\$) Code (\$)	119 320	219 160 Notice of Appeal	
101 740 201 370 Utility filing fee	120 320	220 160 Filling a brief in support of an appeal	
106 330 206 165 Design filing fee	121 280	221 140 Request for oral hearing	
107 510 207 255 Plant filing fee	138 1,510	138 1,510 Petition to institute a public use proceeding	
108 740 208 370 Reissue filing fee	140 110	240 55 Petition to revive - unavoldable	
114 160 214 80 Provisional filing fee	141 1.280	241 640 Petition to revive - unintentional	
SUBTOTAL (1) (\$)	142 1.280	242 640 Utility issue fee (or reissue)	
2. EXTRA CLAIM FEES Putra Foofmen	143 460	243 230 Design Issue fee	
2. EXTRA CLAIM FEES Extra Fee from Claims below	144 620	244 310 Plant issue fee	
Total Claims 34 . = X =	122 130	122 130 Petitions to the Commissioner	
Independent 8 - **= X	123 50	123 50 Processing fee under 37 CFR 1.17(g)	
Multiple Dependent	126 180	126 180 Submission of Information Disclosure Strnt	
Large Entity Small Entity Fee Fee Fee Fee Fee Description	581 40	581 40 Recording each patent assignment per property (times number of properties)	i
Fee Fee Fee Fee Description Code (\$) Code (\$)	146 740	246 370 Filing a submission after final rejection	\dashv
103 18 203 9 Claims in excess of 20		(37 CFR § 1.129(a))	
102 84 202 42 Independent claims in excess of 3	149 740	249 370 For each additional invention to be	
104 280 204 140 Multiple Dependent claim, if not paid	470	examined (37 CFR § 1.129(b))	
109 84 209 42 **Relssue Independent claims	179 740	279 370 Request for Continued Examination (RCE)	
over original patent	169 900	169 900 Request for expedited examination of a design application	
110 18 210 9 **Reissue claims in excess of 20 and	Other fee (spec	<u> </u>	
over original patent	Other fee (spec	··	
SUBTOTAL (2) (\$)	*Reduced by Basic	•	
™or number previously paid, if greater, For Reissues, see below			لبني
SUBMITTED BY		Complete (if applicable)	\supset
Nome (Phymns) Connect Foundation	Registration	on No. 26 374 Tolophore (714) 557 390	\overline{a}

SUBMITTED BY

Name (Print/Type)

George L. Fountain

Registration No. (Attorney/Agent)

Signature

MARNING! Information on this form may become public. Credit card information should not

be Included on this form. Provide credit card information and authorization on PTO-2039.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND TEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissionar for Patents, Washington, DC 20231.

BSTZ

RECEIVED
CENTRAL FAX CENTER
Docket No.: 42236P068
NOV 1 4 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

PETER HOLZMANN, ET AL.

Application No.: 09/960,029

Filed: September 20, 2001

For: ANALOG/DIGITAL RECORDING AND

PLAYBACK SYSTEM AND RELATED

METHOD

Art Group:

Examiner:

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 CFR § 1.56 and in accordance with 37 C.F.R. § 1.97, enclosed is a copy of Information Disclosure Citation Form PTO/SB/08. Copies of the references cited on PTO/SB/08 are enclosed herewith. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any additional fee due to Deposit Account 02-2666. A duplicate copy of

Eric Hoover

the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date:

December 17, 2001

George L. Fountain, Reg. No. 36,374

12400 Wilshire Blvd., 7th Floor Los Angeles, California 90025 (714) 557-3800

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 to the Patent and Trademark Office on: <u>December 17, 2001</u>.

71

12/17/01

Date

Please type a plus sign (+) inside this hox -> [+

Patent and Tr

PTO/SB/08A (08-00) red for use through 10/31/2002. OMB 0851-0031 rk Office: U.S. DEPARTMENT OF COMMERCE ution unless it displays a valid OMB control number.

Patent and Tr A Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Rou on Act of 1995, no persons are required to respond to a collection of Info.....don unless it displays a valid OMB control number.

Substitute (for form 1449A/PTO			Co	emplete If Known
				Application Number	09/960,029
INFO	INFORMATION DISCLOSURE			Filing Date	September 20, 2001
STATEMENT BY APPLICANT			ICANT	First Named Inventor	Peter Holzmann
	(use as many sheets as m			Group Art Unit	
	(20c do many onecto do m	1	· , ,	Examiner Name	
Sheet	1	of	2	Attorney Docket Number	42236P.068

				U.S. PATENT DOCUMENTS		
Examiner Initials*	Cite No.'	U.S. Petent Number	Document Kind Code* (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Unes, Where Relevant Passages or Relevant Figures Appear
<u>.</u>	Α	5,745,409)	Wong et al.	04-28-1998	
						
					·	
			<u> </u>			
				Mark 1977		
·			-			
			-			

		 	-			
		ļ		· · · · · · · · · · · · · · · · · · ·		***************************************

FOREIGN PATENT DOCUMENTS								
Examine:	amino: Cite	For	eign Patent Docu	ment	Name of Patentee or	Date of Publication of	Pages, Columns, Lines, Where Relevant	T
Initials*	No.'	Office ¹	Number	Kind Code* (# known)	Applicant of Cited Document	Cited Document MM-DD-YYYY	Passages or Relevant Figures Appear	10
			•					Т
			· · · · · · · · · · · · · · · · · · ·					T
		 			- ·			T
-		+						+
		+ +		- 				+
		1						+-
		 						╁╴
		 						╁
		┼┤		- 				+-
	<u></u>	 						+
		1 1		} - }				ı

Examiner	-	Date	
Signature		Considered	·

"Unique citation designation number. "See attached Kinds of U.S. Patent Documents. "Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). "For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. "Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. "Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

^{*}Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

Please type a plus algn (+) inside this box

PTC/SB/088 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unloss it displays a valid OMB control number.

Substitute (Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT			Co	Complete if Known		
				Application Number	09/960,029		
INFU				Filing Date	September 20, 2001		
STAT				First Named Inventor	Peter Holzmann		
• • • • • • • • • • • • • • • • • • • •				Group Art Unit			
				Examiner Name			
Sheet	· 2	of	2	Attorney Docket Number	42236P068		

	OTHER ART - NON PATENT LITERATURE DOCUMENTS							
Examiner Initials*	Cite No.'	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the ltern (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T2					
·	В	SUPERFLASH EEPROM TECHNOLOGY, SST Data Book, May 1995, pp. 17.2-17.7						
		·						
,								
<u>-</u> .								
·		·						

Examiner	Date	
Signature	Considered	IĮ

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation If not in conformance and not considered. Include copy of this form with next communication

'Unique citation designation number. 'Applicant is to place a check mark here if English language Translation is ettached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the Individual case, Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Petent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.